

**SAWS OVERSIGHT PROCESSES BINDER  
RECORD OF CHANGE LOG – SECTION 6**

<b>SECTION NAME:</b> Risk Management
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<b>BRIEF DESCRIPTION OF SECTION:</b> Describes the SAWS Oversight process for risk management, and includes a user’s guide for Risk Radar software.

## CHANGE LOG

[illegible]

# **HHSDC SAWS Oversight Operations Guide**

## **HHSDC SAWS RISK MANAGEMENT**

### **Background**

Beginning in August, 1996, the Consortium Oversight group's consultant prepared overall SAWS project risk assessments for presentation to HHSDC management. These assessments used a variety of "checklist" type tools to assist in the assessment of risk, consistent with IEEE Std 1490-1998, Adoption of the PMI Standard, A Guide to the Project Management Body of Knowledge, Section 11.1.2.1. One of the key checklists used was the Software Engineering Institute (SEI) Taxonomy-Based Questionnaire, based on their Taxonomy of Software Risk. SEI risk management materials are recommended for use by IEEE (See, for example Std 1058-1998).

HHSDC SAWS Oversight has developed, documented and implemented a formal risk management approach based upon the SEI model. This approach supports analysis and quantification of impact using an "expert judgment" approach, categorizing both impact and probability on a scale of 1 – 5. This approach is included among the acceptable methods of risk quantification in IEEE Std 1490-1998 (PMBOK), section 11.2.2.5.

### **HHSDC SAWS Risk Management Process**

#### *CalWIN*

In May, 1999, prior to the start-up of CalWIN development, the HHSDC Oversight group recorded their current risk assessments for the consortium in an MS-Access database (Risk Radar) designed to support risk management and related reporting. These reports provide the basis for formal risk management.

On an ongoing basis the consortium liaison and HHSDC's IV&V consultant enter historical notes and/or new risks into the risk data base. Once a month the Chief, SAWS Strategy Implementation, consortium liaison, and HHSDC's IV&V consultant meet to review the risk management plan. Each risk is assessed for change (e.g., probability, impact) and the outcome entered into the data base. In addition, new risks may be identified and/or existing risks assessed for potential retiring.

After this monthly meeting a report is generated and sent to the members of the State Oversight Working Committee. This committee reviews the risk assessments, identifies new risks, provide change input on existing risks, and identifies the need for State-level mitigation strategies and escalation. Any changes identified at the meeting are entered into the data base.

#### *Other Consortiums*

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The above process will be followed for the C-IV Consortium and the other consortiums as they enter into second generation procurements. HHSDC SAWS Oversight is in the process of determining if this approach is appropriate and feasible for use in M&O.

### *Data Base*

The Microsoft access data base that HHSDC SAWS Oversight uses for risk management is Risk Radar from "Software Program Manager's Network". This tool supports the SEI model and meets the IEEE and PMI requirements for risk management. The Risk Radar user manual is included in this section.